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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application: Jan Stallaert et al.

Serial No.: 09/067,640

Filed: April 27, 1998

Art Unit:

Examiner:

For: AN APPARATUS FOR TRADING OF BUNDLED ASSETS
INCLUDING BUNDLE SUBSTITUTION AND METHOD THEREFOR

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

This Information Disclosure Statement is being submitted for the above-identified application for patent. Applicant submits herewith patents, publications or other information of which he is

CERTIFICATION UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence (along with any item referred to as being enclosed herewith) is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on March 2, 1999.

Signature

Toni Asendorf

(Printed name of person certifying)

aware, which he believes may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

A copy of the items identified on the attached Form PTO-1449 is supplied herewith.

Respectfully submitted,

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LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANTS' INFORMATION DISCLOSURE
STATEMENT

Reference Designation

U.S. PATENT DOCUMENTS


| Examiner Initial | Document Number | Date | Name | Class | Subclass | Filing Date if Appropriate |
|------------------|-----------------|----------|------------------------|-------|----------|----------------------------|
| AAA | 4,412,287 | 10/25/83 | Walter D. Braddock III | 364 | 408 | |
| ABA | 4,674,044 | 06/16/87 | Kalmus et al. | 364 | 408 | |
| ACA | 5,077,665 | 12/31/91 | Silverman et al. | 364 | 408 | |
| ADA | 5,101,353 | 03/31/92 | Lupien et al. | 364 | 408 | |
| AEA | 5,136,501 | 08/04/92 | Silverman et al. | 364 | 408 | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)Examiner
Initial

- ____ AEA Adams et al., "Commodity Bundling and the Burden of Monopoly," *The Quarterly Journal of Economics* Vol. XC, 475-498 (1976).
- ____ AGA Brewer et al., "A Binary Conflict Ascending Price (BICAP) Mechanism for the Decentralized Allocation of the Right to Use Railroad Tracks," Social Science Working Paper 887, California Institute of Technology, Division of the Humanities and Social Sciences, Pasadena, California (February 1995).
- ____ AHA Goodwin, Richard M., "Iteration, Automatic Computers, and Economic Dynamics," *Metroeconomica* Vol. III, pp. 1-7, (April 1951).
- ____ AIA Levin, Jonathan, "An Optimal Auction for Complements," *Games and Economic Behavior* Vol. 18, 176-192 (1997).
- ____ AJA McAfee et al., "Multiproduct Monopoly, Commodity Bundling, and Correlation of Values," *The Quarterly Journal of Economics* 371-383 (May 1989).
- ____ AKA Gjerstad et al., "Price Formation in Double Auctions," pp. 1-32 (April 7, 1997)
- ____ ALA McAfee et al., "Analyzing the Airwaves Auction," *Journal of Economic Perspectives* Vol. 10, No. 1, 159-175 (Winter 1996).
- ____ AMA Weber, Bruce W., "Transparency and Bypass in Electronic Financial Markets," Proceedings of the Twenty-Seventh Annual Hawaii International Conference on System Sciences, pp. 865-874 (1994).
- ____ ANA Domowitz et al., "Auctions as algorithms," *Journal of Economic Dynamics and Control* Vol. 18, pp. 29-60 (1994).
- ____ AOA Radosevich, Lynda, "Wired," *Webmaster*, pp. 26-31 (February 1997).
- ____ APA Branco, Fernando, "Designing Markets: on the Use of Combinational Bids in Multi-object Auctions," pp. 1-25 (May 1997).
- ____ AQA McAfee et al., "Electronic Markets" in *Readings in Electronic Commerce*, pp. 293-309 (Addison Wesley Longman, Inc. 1997).
- ____ ARA Hill et al., "Equity Trading, Program Trading, Portfolio Insurance, Computer Trading and All That," *Financial Analysts Journal*, pp. 29-35 (July-August 1988).
- ____ ASA Rubinstein, Mark, "Market Basket Alternatives," *Financial Analysts Journal*, pp. 20-29 (September-October 1989).

- _____ATA McCabe et al., "Designing 'Smart' Computer-Assisted Markets: An Experimental Auction for Gas Networks," *Journal of Political Economy* Vol. 5, pp. 259-283 (1989).
- _____AUA Rassenti et al., "A combinatorial auction mechanism for airport time slot allocation," *The Bell Journal of Economics*, Vol. 13, pp. 402-417 (1982).
- _____AVA Domowitz, Ian, "The Mechanics of Automated Trade Execution Systems," *Journal of Financial Intermediation* Vol. 1, pp. 167-194 (1990).
- _____AWA Rothkopf et al., "Computationally Manageable Combinatorial Auctions," pp. 1-26, Rutgers University (December 1995).
- _____AXA Bikhchandani et al., "Competitive Equilibrium in an Exchange Economy with Indivisibilities," *Journal of Economic Theory* Vol. 74, pp. 385-413 (1997).

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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